



JFW

PATENT  
Attorney Docket No. ASX-063

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Tracy et al. GROUP NO.: 1753  
SERIAL NO.: 10/642,505 EXAMINER: Not yet assigned.  
FILING DATE: August 18, 2003  
TITLE: CONTROL SYSTEM FOR A SPUTTERING SYSTEM

***CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8***

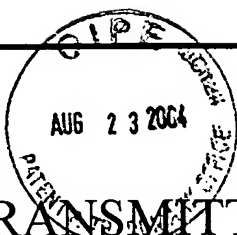
I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 19th day of August, 2004.

  
Olivia J. Mannion

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith are: Transmittal Form (1 page); Supplemental Information Disclosure Statement (2 pages); Form PTO-1449 (1 page); Reference Labeled B1; and a return-receipt postcard.



# TRANSMITTAL FORM

Application Serial Number	10/642,505
Filing Date	August 18, 2003
First Named Inventor	Tracy
Group Art Unit	1753
Examiner Name	Not yet assigned.
Attorney Docket No.	ASX-063
Patent No.	Not applicable
Issue Date	Not applicable


## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences
<input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]	<input type="checkbox"/> Formal Drawing(s)	<input type="checkbox"/> Appeal Brief (in triplicate)
<input type="checkbox"/> Petition for Extension of Time	<input type="checkbox"/> Request For Continued Examination (RCE) Transmittal	<input type="checkbox"/> Status Inquiry
<input checked="" type="checkbox"/> Supplemental Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copy of IDS Citation Labeled B1	<input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)	<input checked="" type="checkbox"/> Return Receipt Postcard
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8
<input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above	<input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application	<input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8
	<input type="checkbox"/> Small Entity Statement	<input type="checkbox"/> Additional Enclosure(s) (please identify below)
	<input type="checkbox"/> CD(s) for large table or computer program	
	<input type="checkbox"/> Amendment After Allowance	
	<input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate)	

## CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator  
Proskauer Rose LLP  
One International Place  
14<sup>th</sup> Floor  
Boston, MA 02110-2600  
Tel. No.: (617) 526-9600  
Fax No.: (617) 526-9899

## SIGNATURE BLOCK

Respectfully submitted,  
  
Joseph A. Capraro, Jr.  
Attorney for the Applicant(s)  
Proskauer Rose LLP  
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Boston, MA 02110-2600

Date: August 19 2004  
Reg. No.: 36,471  
Tel. No.: (617) 526-9800  
Fax No.: (617) 526-9899



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Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. In accordance with the U.S. Patent Office's partial waiver of the requirement under 37 C.F.R. 1.98(a)(2)(i), only copies of the foreign patent documents and non-patent publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R., this statement is being filed (check one)

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a final action or notice of allowance but before the payment of the issue fee, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

### STATEMENT

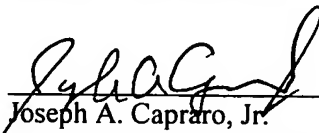
As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

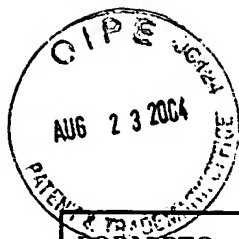
- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

Date: August 19, 2004  
Reg. No.: 36,471

Tel. No.: (617) 526-9800  
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\_\_\_\_\_  
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Boston, MA 02110



SHEET 1 OF 2

FORM PTO - 1449

SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT

ATTY DOCKET NO.: ASX-063

APPLICANT: Tracy

SERIAL NO.: 10/642,505

FILING DATE: August 18, 2003

GROUP: 1753

## U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A14	5,505,835	04/09/96	Sakaue et al.	204	192.26	02/22/94
	A15	5,584,974	12/17/96	Sellers	204	192.13	10/20/95
	A16	5,616,224	04/01/97	Boling	204	298.08	05/09/95
	A17	5,645,698	07/08/97	Okano	204	192.12	08/25/94
	A18	5,651,865	07/29/97	Sellers	204	192.13	06/17/94
	A19	5,718,813	02/17/98	Drummond et al.	204	192.12	04/02/93
	A20	5,729,119	03/17/98	Barbour	323	222	06/28/96
	A21	5,770,023	06/23/98	Sellers	204	192.3	02/12/96
	A22	5,796,214	08/18/98	Nerone	315	209 R	09/06/96
	A23	6,001,224	12/14/99	Drummond et al.	204	192.12	09/29/95
	A24	6,524,455	02/25/03	Sellers	204	298.08	10/04/00

## FOREIGN PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B1	7-188919	07/25/95	JP				NO	NO

## OTHER ART, JOURNAL ARTICLES, ETC.

EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
EXAMINER					DATE CONSIDERED				